

MICHIGAN DEPARTMENT OF CORRECTIONS POLICY DIRECTIVE SUBJECT PAROLE/PROBATION CASELOAD AUDITS	EFFECTIVE DATE 01/01/2005	NUMBER 06.04.150
	SUPERSEDES 06.04.150 (08/01/04)	
	AUTHORITY MCL 791.203	
	ACA STANDARDS 3-3129	
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POLICY STATEMENT:

Field Operations Administration (FOA) parole/probation caseloads shall be audited as set forth in this policy directive.

RELATED POLICY:

01.05.100 Self Audit of Policies and Procedures

POLICY:

- A. The routine performance of caseload audits enables management and staff to ensure compliance with Department policy directives and operating procedures. The goal of the auditing process is to provide accountability with regard to performance of job duties and to correct any performance deficiencies that may be identified.
- B. The appropriate FOA Regional Administrator shall ensure supervisors performing audits have received audit training prior to conducting audits. All parole and probation supervisors shall participate in the annual audit process. Supervisors shall not audit a caseload of an agent, or a case involving a probationer or parolee, to whom the supervisor is related by blood or marriage. Except for annual audits, supervisors may audit cases and caseloads assigned to agents at the same worksite. Agents whose cases or caseloads are being audited shall not be present during the audit.
- C. An audit shall cover each case for the time period since completion of the last audit or the time period since the case was assigned to the agent for supervision, whichever is shorter, but shall not cover more than a 12 month period. Three types of audits shall be conducted:
 1. Annual audits shall be conducted on at least 24 percent of parole and probation caseloads. The audits shall be conducted between September 1 and September 30 of each year. Caseloads shall be selected for audit through a random selection process, as determined by the FOA Deputy Director or designee.
 2. Exit audits shall be conducted on parole and probation caseloads whenever an agent vacates a position, excluding temporary absences of 90 calendar days or less. If vacated due to transfer or promotion, the audit shall be completed before departure of the agent. A transfer or promotion of an agent within FOA shall not be completed until any deficiencies requiring follow-up activity by the agent are completed and the caseload is brought into compliance. When a position is vacated due to any other type of departure, the immediate supervisor shall ensure that deficiencies are resolved and the caseload is brought into compliance.
 3. Performance audits shall be conducted on individual cases or caseloads when there is reason to believe that particular cases or caseloads may not have been supervised in compliance with Department policies or procedures.
- D. Auditors shall report their findings on the Caseload Audit Sheet (CFJ-274). Auditors must obtain complete and accurate information to assess compliance or non-compliance. There must be sufficient documentation provided to support the auditor's conclusions.

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- E. The supervisor of the audited agent shall investigate any reported deficiencies and forward a Caseload Audit Follow-up Report (CFJ-278) to the appropriate Regional Administrator through the chain of command. Any necessary corrective action, as determined by the Regional Administrator, shall be taken through the chain of command.
- F. Each Regional Administrator shall submit to the Office of Field Programs (OFP) Administrator by January 1 of each year a consolidated summary of information for each counseling memorandum or interim service rating issued as a result of the annual audit for the prior year.
- G. By February 1 of each year, the OFP Administrator shall ensure that a statistical summary of the annual audit findings for the previous year is completed.
- H. All questions pertaining to the audit process shall be referred to the Area Manager and through the regional chain of command of the auditor.

OPERATING PROCEDURES

- I. The FOA Deputy Director shall ensure that procedures are developed as necessary to implement requirements set forth in this policy directive; this shall be completed within 60 calendar days after the effective date of the policy directive. This requirement includes ensuring that their existing procedures are revised or rescinded, as appropriate, if inconsistent with policy requirements or no longer needed. Facility procedures shall not conflict with procedures issued by the Director or Deputy Director.

AUDIT ELEMENTS

- J. A Primary Audit Elements List has been developed and will be provided to FOA Regional Administrators to assist with self audit of this policy, pursuant to PD 01.05.100 "Self Audit of Policies and Procedures".

PLC:OPH:12/21/04